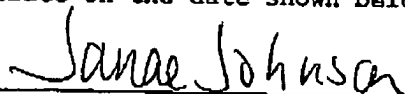
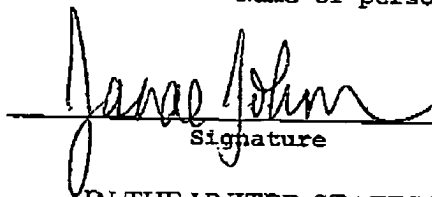


## CERTIFICATION OF FACSIMILE TRANSMISSION

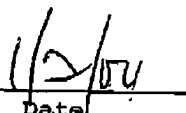
I hereby certify that this paper is being facsimile transmitted to the Patent and Trademark Office on the date shown below.



Name of person signing certification



Signature



Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Confirmation No. 8948  
Hideki HAYASHI et al. : Docket No. 2001\_1542A  
Serial No. 09/974,914 : Group Art Unit 2655  
Filed October 12, 2001 : Examiner Mohammad N. Edun

OPTICAL HEAD AND APPARATUS FOR  
AND METHOD OF STORING AND  
REPRODUCING OPTICAL INFORMATION

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. .

- 1a. ☒ This Information Disclosure Statement is submitted:
- within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**
- before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,
- and thus no certification and/or fee is required.**
- 1b. ☐ This Information Disclosure Statement is submitted
- after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:
- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.
- 1c. ☐ This Information Disclosure Statement is submitted:
- after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:
- the certification of paragraph 2 below is provided, and**
- the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**
2. It is hereby certified
- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart

foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ a foreign patent office action (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:
- CN 1235689A corresponds to U.S. 6,552,990 and WO 98/19303
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Hideki HAYASHI et al.

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